

APPENDIX001 GENERAL:

001.01 Definitions: As used in Chapter 1 unless the context otherwise requires:

001.01A Authority: The term includes a certificate, license or permit.

001.01B Commission: The Nebraska Public Service Commission.

001.01C Common Carrier: A ~~person~~Person transporting ~~freight or~~ passengers ~~or goods~~for hire or providing telecommunications services for hire to the general public at large in Nebraska intrastate commerce. [Source of changes: 75-109 and 86-118.]

001.01D Contested Case: A ~~proceeding~~Proceeding before the Commission in which the legal rights, duties or privileges of specific ~~parties~~Parties are required by law or constitutional right to be determined after a hearing before the Commission. [Alternative: Shall have the definition provided in Neb. Rev. Stat. § 84-901(3) as such section now exists or is hereafter amended.]

001.01E Contract Carrier: A ~~person~~Person transporting ~~freight or~~ passengers ~~or goods~~for hire or providing telecommunications services under contract to one or a limited number of ~~persons~~the general public at large in Nebraska intrastate commerce. [Source of changes: 75-109 and 86-128.]

001.01F Ex Parte Communication: An oral or written communication, made by any medium, which is not on the record in a ~~contested case~~Contested Case with respect to which reasonable notice to all ~~parties~~Parties was not given. Ex parte communication does not include:

001.01F1 Communications that do not pertain to the merits of a ~~contested case~~Contested Case;

001.01F2 Communications in a ratemaking or rulemaking proceeding~~proceeding~~Proceeding; and

001.01F3 Communications to which all ~~parties~~Parties have given consent. [Alternative: Shall have the definition provided in Neb. Rev. Stat.

~~§ 84-901(4) as such section now exists or is hereafter amended.]~~

001.01G Executive Director: The ~~person~~Person in charge of the day-to-day operations of the Commission.

001.01H Hearing Officer: The Commissioner assigned to preside over the ~~proceeding~~Proceeding.

001.01I Holiday: A day or any portion of a day designated by statute or authorized by the Governor during which no business is transacted by the Commission.

001.01J Jurisdictional Utility: ~~A natural gas public utility subject to the jurisdiction of the Commission.~~Shall have the definition provided in Neb. Rev. Stat. § 66-1802(10) as such section now exists or is hereafter amended.

001.01K Legal Representative: For the purpose of administering the act and the rules and regulations promulgated thereunder, the term "~~legal representative~~Legal Representative" includes widow and/or widower. [Question: What is the "act" and what rules and regs are referenced?]

001.01L Motion: An oral or written request ~~for an order~~ addressed to a ~~hearing officer~~Hearing Officer or the Commission by any party to a ~~proceeding~~Proceeding. Oral ~~motion~~Motions may be made only during a hearing.

001.01M Parties:

001.01M1 Applicant: A ~~person~~Person filing an application.

001.01M2 Commenter: A ~~person~~Person filing written comments in a ~~proceeding~~Proceeding. [Comment: A "commenter" is not a party for purposes of appeal or cross-examination rights. Suggest this term be omitted.]

001.01M3 Commission Staff: Persons who appear in a ~~proceeding~~Proceeding by virtue of their Commission employment.

001.01M4 ~~Complainant~~Complainant: A ~~person~~Person filing a complaint.

001.01M5 ~~Defendant~~Defendant: A ~~person~~Person against whom a complaint is filed.

001.01M6 ~~Formal Intervener~~Formal Intervener: A ~~person~~Person granted leave to formally intervene in any Proceeding.

001.01M7 ~~Informal Intervener~~Informal Intervener: A ~~person~~Person granted leave to informally intervene in any Proceeding.

001.01M8 ~~Petitioner~~Petitioner: Any ~~other person~~Person seeking relief other than by complaint or application.

001.01M9 ~~Protestant~~Protestant: A ~~person~~Person filing a protest to the granting of an application.

001.01M10 ~~Respondent~~Respondent: A ~~person~~Person designated in an investigative or show cause ~~proceeding~~Proceeding.

001.01N Person: Any individual, corporation, governmental agency or subdivision, partnership, limited liability company, company or association; or any other legal or commercial entity, including any ~~jurisdictional utility~~Jurisdictional Utility, common or ~~contract carrier~~Contract Carrier and its owners, directors, officers, limited liability company members, agents and employees; or the Public Advocate.

001.01O Proceeding: A matter brought before the Commission by sanction of law for the acquiring of a right or enforcement of a remedy.

001.01P Public Advocate: The ~~person~~Person appointed by the Executive Director to represent the interests of Nebraska citizens and all classes of ~~jurisdictional utility~~Jurisdictional Utility ratepayers, other than high-volume ratepayers, in matters involving jurisdictional utilities and as trial staff before the Commission.

002 APPEARANCES:

002.01 Individual: An individual may appear on his/her own behalf before the Commission.

002.02 On Behalf of Another: An individual may appear on behalf of another ~~person~~Person and elicit testimony from witnesses if such individual is admitted to practice law before the Nebraska Supreme Court or is admitted to practice law before the Supreme Court of any other state and has been admitted to practice before the Commission in a

~~proceeding~~Proceeding upon a ~~motion~~Motion by a ~~person~~Person admitted to practice before the Nebraska Supreme Court.

002.03 On Behalf of Another by Limited Appearance: An individual who is neither admitted to practice law before the Nebraska Supreme Court nor the Supreme Court of any other state may appear for a governmental subdivision, corporation, association or partnership for the sole purpose of making a statement on behalf of such ~~person~~Person, but shall not elicit testimony from any other ~~person~~Person.

002.04 Staff: Nothing in this chapter will prohibit staff members of the Commission, whether or not admitted to practice law in Nebraska, from interrogating witnesses or otherwise participating in ~~proceeding~~Proceedings before the Commission.

~~002.05 Special Appearance: Objections to the jurisdiction of the Commission will be made by filing a special appearance. A party appearing specially for such purpose shall designate the specific defects upon which it relies. If no objection to the jurisdiction of the Commission is made prior to the hearing or at the time appearances are made, jurisdictional defects (except subject matter) are waived. If a special appearance is overruled, the objection to the jurisdiction of the Commission will be preserved in a further pleading, if any is required. [Not used in Nebraska after 1-1-03.]~~

003 TYPES OF PROCEEDINGS:

003.01 Initial Pleadings: The Commission will ~~act~~initiate a Proceeding only on the following initial pleadings: (1) An application for ~~authority~~Authority filed by any ~~person~~Person pursuant to the Commission's jurisdiction under Article IV, Section 20 of the Nebraska Constitution or ~~Chapters 74, 75 and 86 of the Nebraska Revised Statutes~~Neb. Rev. Stat. § 75-109.01 as such section now exists or is hereafter, as amended; (2) A departmental complaint filed by a director of a Commission department; (3) An order to show cause filed at the Commission's own initiative; (4) A formal complaint, which may be filed by any ~~person~~Person against any ~~person~~Person or entity subject to the jurisdiction of the Commission; (5) A petition for investigation, which may be filed by any ~~person~~Person; (6) A petition for declaratory ruling, which may be filed by any ~~person~~Person; (7) An order, on the Commission's own ~~motion~~Motion, opening a public investigation; and (8) An order, at the Commission's own initiative, initiating a rulemaking ~~proceeding~~Proceeding.

003.02 Informal Complaints: The Commission may investigate complaints on an informal basis to resolve questions,

disputes, develop further information, or otherwise resolve an issue.

004 RESPONSIVE PLEADINGS: The only responsive pleadings the Commission will allow are: (1) A protest to an application; (2) A petition for formal or informal intervention; ~~and~~ (3) An answer to a departmental complaint, order to show cause, formal complaint, or petition; and a Motion.

005 FORM OF PLEADINGS: Each pleading shall be filed in the following form:

005.01 Applications on Commission Forms: Applications for certain ~~authority~~Authority and relief, as set forth in section 026 below, should be filed on forms provided by the Commission.

005.02 Applications on Other Forms: Applications not on Commission forms shall be filed in pleading form or in such other form that identifies the ~~applicant~~Applicant, provides a clear statement of the facts upon which the matter is being placed before the Commission, satisfies all other requirements set forth in statute or rule and regulation, clearly states the relief requested, and includes a ~~verified~~ signature on behalf of the Applicant.

005.03 Departmental Complaint: A departmental complaint shall contain the name of the ~~complainant~~Complainant, ~~defendant~~Defendant, a clear and concise allegation of each offense in terms of each applicable statute or rule, and be signed by the director of the department making the complaint.

005.04 Order to Show Cause: An order to show cause shall contain the name of the ~~respondent~~Respondent, a clear and concise allegation of each cause for which the Commission requires a showing, and be signed by the Executive Director.

005.05 Formal Complaint: A formal complaint shall contain the name of the ~~complainant~~Complainant, ~~defendant~~Defendant, a clear and concise allegation of each offense, and a ~~verified~~ signature by or on behalf of the ~~complainant~~Complainant.

005.06 Petition: A petition shall contain the name of the ~~petitioner~~Petitioner, a statement of the matter for which investigation is requested, a statement of the relief requested, and a ~~verified~~ signature by or on behalf of the ~~petitioner~~Petitioner.

005.07 Protest: A protest shall contain the name and address of the ~~protestant~~Protestant, a statement concerning the interest of the ~~protestant~~Protestant in the application

protested, and a request for the relief sought by the ~~protestant~~Protestant.

005.08 Answer to Formal Complaint: An answer to a formal complaint shall be filed and shall admit or deny each material allegation of the formal complaint. The answer shall set forth any affirmative defense which the ~~defendant~~Defendant chooses to assert. The Commission shall have the discretion, upon proper showing, to dismiss the formal complaint, with or without a hearing, or require further action.

~~005.08A—Satisfaction of Formal Complaint:~~ A ~~defendant~~Defendant to a formal complaint may file with the Commission a Statement of Satisfaction of the formal complaint. Such Statement of Satisfaction shall be filed with the Commission within ten (10) days after service of the complaint upon ~~defendant~~Defendant. ~~Defendant~~Defendant shall serve a copy of Statement of Satisfaction upon the ~~complainant~~Complainant. Within five (5) days after receipt of the Statement of Satisfaction by ~~complainant~~Complainant, ~~complainant~~Complainant may file a Statement of Acceptance, a copy of which shall be served upon ~~defendant~~Defendant. The ~~defendant~~Defendant may then move for dismissal at any time prior to the time set for hearing on the complaint.

005.08B If a Statement of Satisfaction is not filed, the ~~defendant~~Defendant shall have ~~fifteen (15)~~twenty (20) days from service of the complaint to file an answer.

005.08C If a Statement of Satisfaction is filed within the time allowed, but is not accepted by the ~~complainant~~Complainant, then the ~~defendant~~Defendant shall file an answer with the Commission within twenty (20) days from the date of service of the Statement of Satisfaction with a copy thereof being served on ~~complainant~~Complainant.

005.08D Except for good cause shown, and except where a Statement of Satisfaction has been filed and accepted, failure to answer ~~will~~may be construed as an admission of the allegations in the complaint.

005.09 Answer to Departmental Complaint: An answer to a departmental complaint shall be filed and shall admit or deny each material allegation of the departmental complaint. The answer shall set forth any affirmative defense which ~~defendant~~Defendant may assert. The answer shall be filed

with the Commission within twenty (20) days after service of the complaint.

005.09A Except for good cause shown, failure to answer ~~will~~may be construed as an admission of the allegations in the complaint.

005.10 Failure to Answer: The fact that a failure to answer ~~will~~may be construed as an admission to the allegations in a formal complaint or a departmental complaint shall be included in the complaint served upon ~~defendant~~Defendant pursuant to 011.

006 SIGNING: Each pleading of a party represented by an attorney shall be signed by at least one attorney of record, who is qualified under this chapter, in his/her individual name, accompanied by his/her bar number, whose mailing address, e-mail address and telephone number will be stated. Except where specifically provided by other rules or statutes, pleadings need not be verified or accompanied by an affidavit. The signature of an attorney constitutes a certificate by the attorney that he/she has read the pleading; that to the best of his/her knowledge, information and belief there is good grounds to support it; and that it is not interposed for delay. The party who is not represented by an attorney shall sign his/her pleading and state his/her mailing address, e-mail address and telephone number.

007 COPIES: Except as otherwise provided in these rules, one original, five paper copies and one electronic copy of each pleading will be filed with the Commission. The electronic copy of the pleading should be submitted to the Commission by electronic mail. In its discretion, the Commission may waive the requirement that an electronic copy of the pleading be filed.

008 WITHDRAWAL OF PLEADING: Pleadings filed with the Commission may not be withdrawn without approval of the Commission.

009 SUBSEQUENT APPLICATION: When any application has been denied, in whole or in part, a subsequent application covering substantially the same subject matter will not be considered by the Commission within 180 days from the date of the final denial, in whole or in part, of the previous application, except for good cause shown.

010 HOURS OF OPERATION; COMPUTATION OF TIME:

010.01 Office Hours: All public records on file at the Commission are open to public inspection. Office hours are 8:00 a.m. to 5:00 p.m. (Central Time), Monday through Friday, except Holidays. Commission files and/or

transcripts may be checked out of the Commission office only with express prior permission of a Commissioner or the Executive Director or their designee.

010.02 Computation: In computing any period of time prescribed or allowed by the rules in Title 291, the day of the act or event after which the designated period of time begins to run is not to be included. The last day of the period so computed is to be included, unless it is a Saturday, Sunday, a Holiday, or, when the act to be done is the filing of a paper with the Commission, a day on which weather or other conditions have made the Commission office inaccessible in which event the period runs until the end of the next day which is not one of the aforementioned days. ~~When the period of time prescribed or allowed is less than five eleven days, intermediate Saturdays, Sundays and Holidays will be excluded in the computation.~~ When the federal government (Post Office) and the Commission observe the same ~~holiday~~Holiday on different days and such prevents a party from acting within the prescribed time, both days observed will be considered as Holidays. [It is suggested that the struck sentence be omitted as confusing and not generally used.]

011 SERVICE AND NOTICE:

011.01 Service and Notice: For the purpose of service, each ~~person~~Person subject to the Commission's jurisdiction shall at all times keep on file with the Executive Director his, her or its business mailing address and e-mail address or, in lieu thereof, notify the Executive Director of an agent (name, mailing address and e-mail address) designated to receive documents and notices. Until the Executive Director is notified to the contrary, the address on file with the Commission's various departments will be deemed to be the address to which documents and notices will be mailed, electronically mailed or personally delivered. Proof of service that any ~~person~~Person subject to Commission jurisdiction was served, or was attempted to be served, at the address on file with the Commission shall be adequate to satisfy any notice requirement imposed by these rules. Any ~~person~~Person who does not hold a certificate, permit or license from the Commission, and yet may be subject to the Commission's jurisdiction, may be served wherever such ~~person~~Person is found within the state.

011.02 Methods of Service:

011.02A A departmental complaint, order to show cause, and a subpoena will be served on the ~~defendant~~Defendant or subject of the order to show cause personally by a Commission inspector or county sheriff, or, except a subpoena, by ~~First Class or~~

certified United States mail, return receipt requested.

011.02B The ~~person~~Person filing a formal complaint or petition for investigation shall serve a copy on the ~~defendant~~Defendant personally or by ~~First Class or~~ certified United States mail, return receipt requested, or shall request that the Commission do so, at the ~~person~~Person's expense, in which event the Commission shall make service by the same means.

011.02C Orders opening public investigation and orders opening rulemaking ~~proceeding~~Proceeding will be served electronically to all certificated carriers affected, others who have in writing requested notice and others at the discretion of the department director. Said orders will also be posted on the Commission's Web site. A paper copy of said orders will be available upon request after payment for copying and faxing or mailing.

011.02C1 Subsequent orders in public investigations and rulemaking ~~proceeding~~Proceedings will be served electronically on the certificated carriers affected, others requesting by written notice and others at the discretion of the department director. Said subsequent orders will also be posted on the Commission's Web site. A paper copy of said subsequent orders will be mailed to all ~~parties~~Parties of record (i.e., ~~commenter~~Commenters and interveners).

011.02D Orders in other ~~proceeding~~Proceedings will be sent to all ~~parties~~Parties of record by First Class United States mail.

011.02E Notice of Hearing in all ~~proceeding~~Proceedings, including the time and date of the hearing, will be sent to all ~~parties~~Parties of record by First Class United States mail.

011.03 Return: The ~~person~~Person serving documents shall make proof of service thereof to the Commission promptly and in any event within the time during which the ~~person~~Person served must respond. Failure to make proof of service will not affect the validity of the service.

011.04 Personal Service: The Executive Director will be furnished such copies as are necessary to make service. Service will be made as follows:

011.04A Upon an individual other than an incompetent ~~person~~Person, by delivering a copy of the document to him/her personally or by leaving a copy thereof at his/her dwelling, house or other place of abode with some ~~person~~Person of suitable age and discretion then residing therein or, if any, at his/her usual place of business; provided however, if an agent has been designated, the document will be served upon the agent in the same manner as service is to be made upon the principal.

011.04B Upon a domestic or foreign corporation, an organization, a partnership or other unincorporated association that is subject to suit under a common name, by delivering a copy of the document to an officer, a managing or general agent; provided, however, if an agent has been designated, the document will be served upon the agent in the same manner as service is to be made upon the principal.

011.04C Upon a ~~legal representative~~Legal Representative by delivering a copy of the document to him/her personally or by leaving a copy thereof at his/her usual place of business, if any, or his/her dwelling, house or usual place of abode with some ~~person~~Person of suitable age and discretion then residing therein. ~~For the purpose of administering the act and the rules and regulations promulgated thereunder, the term "legal representative" includes widow and widower. [The stricken sentence is covered in Rule 001.01K.]~~

011.05 Service by Mail: Service other than personal service will be by certified or First Class United States mail to the address on file with the Commission; provided, however, if an agent has been designated, the document will be delivered to the address of the agent by certified or First Class United States mail.

011.05A ~~-Date of Service Determined:-~~ The date of service of a document which is mailed is the date of mailing plus 3 days.

011.06 Notice of Application: Notice of the filing of all applications will be given to all interested ~~person~~Persons by publishing a summary of the ~~authority~~Authority or relief sought.

011.07 Official Publication: The legal newspaper is known as The Daily Record and is the official newspaper in which notices will be published by the Commission pursuant to this title. The Commission may publish notice in other publications in addition to The Daily Record.

012 COMMISSION INVESTIGATIONS:

012.01 General: The Commission may, at any time on its own ~~motion~~Motion, conduct an investigation or order any hearing which the Commission is authorized by law or inherent power to conduct.

012.02 Order to Appear: The Commission may, by order, compel any ~~person~~Person to appear in an investigative ~~proceeding~~Proceeding. The order will state the purpose or scope of the investigation and the time and place of the hearing.

012.03 Investigation/Penalty: If it shall appear, as the result of an investigative hearing by the Commission, that any ~~person~~Person has violated the provisions of any statute over which the Commission has jurisdiction, the rules of the Commission or a Commission order, the Commission may order such ~~person~~Person to cease and desist, enter an order assessing a civil penalty or enter any order justified in the premises.

013 SHOW CAUSE ORDERS:

013.01 Show Cause Order: The Commission may, by order, compel any ~~person~~Person to whom it has granted ~~authority~~Authority to show good cause as to why the ~~authority~~Authority should not be suspended, changed, revoked in whole or in part, or why the holder of the certificate or permit for such ~~authority~~Authority should not be subject to a civil penalty or administrative fine as provided for in Commission rules.

013.02 Content: The show cause order shall specifically advise the ~~respondent~~Respondent of the alleged violation or violations and the time and place of the hearing on such order.

013.03 Cease and Desist Order: The Commission may, after proper notice and hearing, enter a cease and desist order, enter an order assessing a civil penalty or enter any order justified in the premises-.

014 PROTESTS:

014.01 Content of Protest; Failure to File: In addition to the requirements of Section 005.07, a protest shall set forth specifically the grounds upon which it is made, shall state the interest of the ~~protestant~~Protestant in the ~~proceeding~~Proceeding, and shall specify the facts and circumstances relied upon. Except as provided in Section 015, failure to timely file a protest shall be construed as a waiver of opposition and participation in the ~~proceeding~~Proceeding, except to the extent that formal or

informal intervention or public participation may be allowed as provided in this chapter.

014.02 Protest Against Application; When Filed: Except as provided in Sections 014.03 and 014.04, and unless otherwise provided in statute, a protest against the granting of any application shall be filed with the Commission within thirty (30) days from the date of publication of notice of said application pursuant to Section 011.06. The ~~protestant~~ Protestant shall serve a copy of the protest upon all ~~parties~~ Parties of record or upon their attorneys of record.

014.03 Protest to Temporary Motor Carrier Authority: A protest to the granting of an application for temporary motor carrier ~~authority~~ Authority, which the Commission is empowered to grant after not less than five (5) days notice and without hearing, shall be filed with the Commission within five (5) days after the date such notice is published. Such protest may be made by facsimile or electronic mail, provided that the original paper pleading is delivered to the Commission within five (5) days of the expiration of the time to file the protest.

014.04 Protest to an Emergency Rate Order: In certain emergency situations, the Commission has the statutory authority to temporarily alter, amend, or suspend any existing rates in force, or to fix any such rates where none exist by issuing an order which prescribes an emergency rate. After notice of the emergency rate is given to the carriers affected by such emergency rate, any such affected carrier or any interested ~~person~~ Person shall file a protest to the granting of such rate within fifteen (15) days after notice of the emergency rate is given.

014.05 Protest Filing by Facsimile or Electronic Mail: A ~~person~~ Person may preserve time to file a formal protest by filing the protest by facsimile or electronic mail, within the statutory time to file, provided that the original paper pleading is forwarded within five (5) days of the expiration of the time to file the protest.

014.06 Protest to Inter-LATA Interexchange Telecommunications Service Application; When Filed: Except as provided in Section 014.05 and unless otherwise provided in the statutes, a protest against the granting of an application for a certificate authorizing inter-LATA interexchange telecommunications service shall be filed with the Commission within ten (10) days from the date of publication of said notice. ~~The protestant shall serve a copy of the protest upon all parties of record or upon their attorneys of record. Such protest may be made by facsimile or electronic mail, provided that the original paper pleading is forwarded within five (5) days of the expiration~~

~~of the time to file the protest. [The stricken sentence is
redundant to other provisions of the Rules.]~~

015 INTERVENTION IN PROCEEDINGS:

015.01 Formal Intervention; Status: Any ~~person~~Person who has an interest in any ~~proceeding~~Proceeding pending before the Commission, but who does not desire to file a ~~formal~~ protest, may file a Petition of Formal Intervention.

015.01A ~~-Content:-~~ A Petition of Formal Intervention shall set forth the name and address of the ~~person~~Person petitioning, a statement of facts demonstrating that the ~~petitioner~~Petitioner's legal rights, duties, privileges, immunities or other legal interests may be substantially affected by the ~~proceeding~~Proceedings.

015.01B ~~-When Filed; Service:-~~ A Petition of Formal Intervention shall be filed with the Commission within the time specified in 014.02 for the filing of a ~~formal~~ protest. The ~~person~~Person petitioning to formally intervene shall serve a copy of the Petition of Formal Intervention ~~shall be served~~ upon all ~~parties~~Parties of record to the ~~proceeding~~Proceedings or upon their attorneys of record.

015.01C ~~-Approval by the Commission:-~~ Upon a finding that the ~~petitioner~~Petitioner has demonstrated that its legal rights, duties, privileges, immunities or other legal interests may be substantially affected by the ~~proceeding~~Proceedings, the Commission shall grant the petition and designate the ~~petitioner~~Petitioner as a "~~formal intervenor~~Formal Intervener," which confers upon the ~~petitioner~~Petitioner status as a party to the ~~proceeding~~Proceeding.

015.01D ~~-Participation in Proceedings:-~~ A ~~formal intervenor~~Formal Intervener shall be entitled to participate in the ~~proceeding~~Proceedings to the extent of ~~its~~the party's express interest in the matter. Such participation shall include presentation of evidence and argument, cross-examination of witnesses and submission of rebuttal evidence, unless otherwise limited by the Commission. The Commission may limit the ~~formal intervenor~~Formal Intervener's participation in the ~~proceeding~~Proceedings, either at the time that intervention is granted or at any subsequent time. Conditions may include:

015.01D1 Limiting the ~~formal intervenor~~Formal Intervener's participation to designated issues in which the ~~formal intervenor~~Formal

Intervener has a particular interest demonstrated in the petition;

015.01D2 Limiting the ~~formal-intervener~~Formal Intervener's use of discovery, cross-examination and other procedures so as to promote the orderly and prompt conduct of the ~~proceeding~~Proceedings; and

015.01D3 Requiring two or more interveners to combine their presentation of evidence and argument, cross-examination, discovery and other participation in the ~~proceeding~~Proceeding.

015.01E ~~Appeal:~~ As a party, a ~~formal-intervener~~Formal Intervener shall have the right of appeal.

015.02 Informal Intervention; Requirement; Status: Without satisfying the requirements of formal intervention, any ~~person~~Person may file a Petition of Informal Intervention. Such Petition of Informal Intervention shall set forth the information required in 015.01A above.

015.02A ~~-When Filed:-~~ A Petition of Informal Intervention shall be filed not later than fifteen (15) days prior to the date the hearing on the merits in the ~~proceeding~~Proceeding commences, and shall be accompanied by the statement referred to in 015.02C and any exhibits to be offered by the ~~informal-intervener~~Informal Intervener's witness at the hearing. The ~~petitioner~~Petitioner shall serve a copy of the Petition of Informal Intervention and all accompanying pre-filed material upon all ~~parties~~Parties of record or upon their attorneys of record.

015.02B ~~-Approval by Commission:-~~ Leave to intervene informally shall be granted only if the ~~petitioner~~Petitioner addresses issues reasonably pertinent to the issues already presented and does not unduly broaden the scope of the ~~proceeding~~Proceeding. Upon a finding that leave to informally intervene should be granted, the Commission shall grant the petition and designate the ~~petitioner~~Petitioner as an "~~informal-intervener~~Informal Intervener." The Commission, upon proper showing, may designate as an "~~informal-intervener~~Informal Intervener" any ~~person~~Person who has filed a Petition for Formal Intervention, which the Commission has denied, subject to satisfaction of the other requirements of this section. Granting the ~~petitioner~~Petitioner leave and status as an ~~informal-intervener~~Informal Intervener

does not confer upon the ~~petitioner~~Petitioner status a party to the ~~proceeding~~Proceeding. As such, an Informal Intervener shall have no right to appeal.

~~015.02C—Participation in Proceedings:~~ Participation by an ~~informal intervenor~~Informal Intervener shall be limited to the presentation of a pre-filed statement of a single witness together with exhibits by such witness, ~~and~~ participation in oral argument and submission of briefs. An ~~informal intervenor~~Informal Intervener shall not be permitted to engage in discovery nor to cross-examine or otherwise interrogate the witnesses in the ~~proceeding~~Proceeding called by any party.

015.03 Statements by the Public: Members of the general public unrepresented by counsel shall be allowed to make statements at the hearing in a ~~proceeding~~Proceeding without being required to file either a protest or a petition to formally or informally intervene. Such ~~person~~Persons shall not be a party to the ~~proceeding~~Proceeding and shall have no right to participate in the ~~proceeding~~Proceeding except to make such statements. The Commission shall have the authority to exclude such statements from the record when such statements are immaterial, irrelevant, disruptive or damaging to the hearing. Any ~~person~~Person unrepresented by counsel, including carriers and utilities, may be allowed to make statements at a hearing in a ~~proceeding~~Proceeding if, at the discretion of the Commission, such statements are necessary to clarify the record. No such ~~person~~Person shall become a party to the ~~proceeding~~Proceeding by virtue of making such statements at the hearing.

016 CONTESTED CASES; PROHIBITION AGAINST EX PARTE COMMUNICATIONS:

016.01 Applicable Procedure: Ex parte communications with the Commissioners and the Commission Staff shall be governed by the provisions of Neb. Rev. Stat. § 84-914(6) as such section now exists or is hereafter amended. [The foregoing is suggested in lieu of the proposed language in order to assure that the Commission's Rule on this subject is consistent with Nebraska statutory law.]

~~016.01 Designation: Once the Commission has ascertained that a proceeding has become, or is likely to become, a contested case, the Commission will designate the case as such on all subsequently issued official documents, including agendas, minutes and orders by placing "(CC)" after the docket number on all such documents.~~

~~016.02 Prohibition Against Ex Parte Communications: With respect to any matter of fact or law at issue in a contested case, a member, staff or agent, not including the Public~~

~~Advocate, of the Commission shall not have any ex parte communication with any party having an interest in the outcome of the contested case.~~

~~016.03 Time Period of Prohibition: The prohibitions of subpart 016.02 shall apply between the time of designation and conclusion of any review, appeal or remand proceeding.~~

017 PLANNING CONFERENCES:

017.01 Planning Conference: The Commission, after the deadline for protests in any ~~proceeding~~Proceeding, on its own initiative may conduct a planning conference with the ~~parties~~Parties to the ~~proceeding~~Proceeding for the purpose of establishing a hearing date and progression schedule and addressing any other matters, including discovery and settlement, that may warrant discussion.

017.02 Order: Upon the conclusion of the Planning Conference, the Commission or ~~hearing officer~~Hearing Officer may enter an order setting forth a hearing date, progression schedule and addressing any matters discussed at the Planning Conference.

017.03 Objection to the Order: Subsequent Proceedings: If a Planning Conference order is entered, a reasonable time will be allowed for the ~~parties~~Parties to present objections on the grounds that it does not fully or correctly embody the agreements reached at the conference. Thereafter, the terms of the order or modification thereof shall determine the subsequent course of the ~~proceeding~~Proceedings, unless modified to prevent manifest injustice.

018 EVIDENCE:

018.01 General: The Commission shall admit and give probative effect to evidence in accordance with the requirements of the Nebraska Administrative Procedure Act, Neb. Rev. Stat. §§ 84-901 et seq. as such Act now exists or is hereafter amended. Evidence which is admissible in civil actions under the laws of Nebraska will be admissible before the Commission. While the Commission is not bound to technically follow the rules of evidence, the record will be supported by evidence which possesses probative value commonly accepted by reasonably prudent persons in the conduct of their affairs. Except as provided herein, no factual information or evidence other than that in the record shall be considered in the determination of a case. [It is suggested that the Commission expressly adopt the APA standard rather than a re-worded standard. If this approach is adopted, Rules 018.01A through 018.01C and 018.01E through 018.01G should be deleted.]

018.01A Official Notice: The Commission may take official notice of cognizable facts and may take official notice of general, technical or scientific facts within the Commission's specialized knowledge and the rules and regulations promulgated and adopted by the Commission. Parties shall be notified either before or during the hearing of material so noticed. Parties shall be afforded an opportunity to contest facts so noticed. The record shall contain a written record of every fact officially noticed.

018.01B Specialized Knowledge and Experience: The Commission may utilize its experience, technical competence and specialized knowledge in the evaluation of the evidence presented to it.

018.01C Examination of and Production of Records: The Commission may examine any of the books, papers, documents and records of any ~~common carrier~~Common Carrier, ~~contract carrier~~Contract Carrier or ~~jurisdictional utility~~Jurisdictional Utility or have such examination made by any ~~person~~Person that the Commission may employ for that purpose. The Commission may compel the production of such books, papers, documents and records of any ~~common carrier~~Common Carrier, ~~contract carrier~~Contract Carrier or ~~jurisdictional utility~~Jurisdictional Utility or any other ~~person~~Person. Any ~~person~~Person employed by the Commission to examine such books, papers, documents or records shall produce his or her authority to make such examination.

018.01D ~~Examination of Persons:~~ In accordance with the provisions set forth in this section addressing subpoena practices, the Commission may compel the attendance of witnesses. The Commission may examine under oath or otherwise any officer, director, agent or employee of any ~~common carrier~~Common Carrier, ~~contract carrier~~Contract Carrier or ~~jurisdictional utility~~Jurisdictional Utility or any other ~~person~~Person.

018.01E Exclusion of Evidence: The ~~hearing officer~~Hearing Officer may exclude evidence that is incompetent, irrelevant, immaterial, cumulative or unduly repetitious.

018.01F Privileged Information: The Commission shall give effect to the rules of privilege recognized under Nebraska law.

018.01G Request for Application of Rules of Evidence: Any party to a ~~proceeding~~Proceeding before the Commission, for which a hearing is to be held, and

from which a decision may be appealed to the courts of this state, may request that the Commission be bound by the rules of evidence applicable in district court by delivering to the Commission at least five (5) days prior to the holding of the hearing a written request therefore.

018.01H ~~Oaths~~: The ~~hearing officer~~Hearing Officer or a designee, at the request of any party or upon the ~~hearing officer~~Hearing Officer's own ~~motion~~Motion, may administer oaths in accordance with ~~the rules of civil procedure~~Nebraska law, except as may otherwise be prescribed by law.

018.02 Filing and Serving Exhibits Prior to Hearing: If detailed or complicated exhibits are to be used, the ~~hearing officer~~Hearing Officer may require any party to file and serve a copy of such exhibits, or other necessary information, within a specified time in advance of the hearing.

018.03 Documentary Evidence: Documentary evidence may be received in the form of copies or excerpts.

018.04 Copies of Exhibits: Parties shall furnish accurate copies of all documentary evidence to the official reporter, ~~hearing officer~~Hearing Officer and the ~~parties~~Parties of record to the ~~proceeding~~Proceeding.

018.05 Official Files: Any party that ~~wants~~seeks to introduce into evidence any part or parts of official Commission files shall obtain copies thereof in advance of the hearing. The Commission, on its own ~~motion~~Motion, may offer and make part of the record in any ~~proceeding~~Proceeding before it, all records and documents in the Commission's possession of which the Commission desires to avail itself. [Why is this last sentence appropriate?]

018.06 Abstracts from Documents: When documents are numerous or voluminous, the ~~hearing officer~~Hearing Officer may refuse to receive in evidence more than a limited number alleged and appearing to be representative. The party will abstract in orderly fashion the relevant data from these documents, affording other ~~parties~~Parties reasonable opportunity to examine both the documents and the abstract, and thereupon offer the abstract in evidence in exhibit form.

018.07 Material in Books, Papers or Documents: Relevant portions of books, papers or documents shall be plainly designated and distinguished from all irrelevant portions before the relevant material may be offered into evidence. Where irrelevant material in a book, paper or document is voluminous so as to encumber the record, the book, paper or

document may be marked for identification and relevant material read into the record. Upon direction of the ~~hearing officer~~Hearing Officer, a true copy of the relevant matter may be received as an exhibit, provided copies are delivered to all ~~parties~~Parties of record and provided all ~~parties~~Parties of record are afforded an opportunity to examine the book, paper or document, and to offer into evidence in like manner other portions thereof, if found to be material and relevant.

018.08 Prepared Testimony: Testimony of a witness may be adduced by use of a prepared statement or prefiled testimony if the witness is present for cross-examination at the hearing.

018.09 Cross-examination, Rebuttal and Redirect Examination: In ~~contested case~~Contested Cases, every party shall have the right of cross-examination of witnesses who testify and shall have the right to submit rebuttal evidence. The party offering a witness's testimony may conduct redirect examination of the witness after cross-examination. There shall be no right to recross-examination, but the Commission may allow it in the Commission's discretion when necessary to adequately develop the record.

018.10 Late-Filed Exhibits: The ~~hearing officer~~Hearing Officer may authorize or require any party to furnish and serve designated late-filed exhibits within a specified time after the close of the hearing.

018.11 Subpoenas: The ~~hearing officer~~Hearing Officer or a designee, at the request of any party or upon the ~~hearing officer~~Hearing Officer's own ~~motion~~Motion, may issue subpoenas in accordance with the rules set forth below:

~~018.11A—Request for Subpoena for Attendance of Witnesses:~~ Requests for issuance of a subpoena shall be made to the Commission at least five (5) days prior to the hearing day of the ~~proceeding~~Proceeding that the witness is required to attend.

~~018.11B—Subpoena for Attendance of Witnesses:~~ Subpoenas requiring the attendance of witnesses will be issued upon written request of any party, or on order of the Commission. One subpoena may require the attendance of more than one witness.

~~018.11C—Service of Subpoena for Attendance of Witnesses:~~ The subpoena may be served by any ~~person~~Person not interested in the action, or by a Commission inspector or investigator, or by the sheriff of the county in which the witness is located.

~~018.11D—Fees for Witnesses Subpoenaed:~~ Any witness who is summoned and responds thereto shall receive the same fee paid for like service in the district courts of Nebraska, such fee to be paid by the party at whose instance the witness' testimony is to be taken.

~~018.11E—Subpoena for Records:~~ Subpoenas for the production of papers, books or documents will be issued only upon request in writing, stating specifically which papers, books or documents are required. All ~~parties~~Parties directed to produce such books, papers or documents shall furnish and deliver same at the time and place specified in the subpoena to the Executive Director or other designated employee or agent of the Commission.

~~018.11F—Enforcement:~~ Subpoenas issued under this subsection may be enforced by the district court.

018.12 Depositions and Discovery: The use of depositions and discovery in ~~proceeding~~Proceedings before the Commission is governed by the ~~rules and regulations~~ Nebraska Discovery Rules for All Civil Cases promulgated by ~~of~~ the Nebraska Supreme Court, except as the Commission, upon consultation with the ~~parties~~Parties at the Planning Conference, establishes other requirements, such as shortened response times, in a written order, and except otherwise provided in the Commission's rules and regulations.

~~018.12A—Discovery Motions; Personal Consultation; Required Regulatory Duties:~~ To curtail undue delay and inefficient utilization of the Commission's resources in the administration of its regulatory duties, the Commission shall refuse to consider any ~~motion~~Motion relating to discovery unless the moving counsel, as part of the ~~motion~~Motion, makes a written showing that, after personal consultation with counsel for the other party(ies) and reasonable efforts to resolve differences, counsel are unable to reach an agreement. This showing shall recite, additionally, the date, approximate time and place of such conference and the name of all participants. As used in this subpart, "counsel" includes ~~parties~~Parties who are acting pro se.

~~018.12B—Discovery Orders:~~ The ~~hearing officer~~Hearing Officer or a designee, at the request of any party or upon the ~~hearing officer~~Hearing Officer's own ~~motion~~Motion, may issue discovery orders in accordance with the Nebraska Discovery Rules for All Civil Cases promulgated by the Nebraska Supreme Court's ~~Discovery Rules~~.

018.13 Confidential Information Filed with Commission

018.13A ~~Confidential Information Filed with Applications~~

018.13A1 ~~Claim of Confidentiality; Motion for Protective Order~~ The party filing an application must indicate any information that is claimed to be confidential and must state the grounds with specificity and cite the legal authority for the claim of confidentiality in a ~~motion~~Motion for protective order. If the ~~motion~~Motion for protective order is not filed with the application, any claim of confidentiality of information filed in or with the application shall be deemed waived.

018.13A2 ~~Filing Requirements~~ If an ~~applicant~~Applicant contends any portion of the application, prefiled testimony, or exhibits is confidential, it must file the requisite number of copies of the application, prefiled testimony and exhibits without the asserted confidential information, together with the ~~motion~~Motion for protective order. The ~~applicant~~Applicant must also file under seal and on yellow paper marked "CONFIDENTIAL" the requisite number of copies of the complete application, prefiled testimony, and exhibits claimed to be confidential and the subject of a ~~motion~~Motion for protective order.

018.13BA3 ~~Commission Decision~~ The Commission shall rule on the ~~motion~~Motion for protective order within ten (10) calendar days from the date the application and ~~motion~~Motion are filed. Parties opposing the ~~motion~~Motion may file a resistance to the ~~motion~~Motion within five (5) calendar days of its filing. If the ~~motion~~Motion is granted, a protective order shall be issued.

018.13BC ~~Other Confidential Filings~~ Any ~~person~~Person seeking to prevent disclosure of information filed by the Commission must file such information on yellow paper marked "CONFIDENTIAL."

018.14 Offer of Proof: An offer of proof may be made by a party or by counsel.

018.15 Order of Hearings:

~~018.15A—Applications and Petitions:~~ Unless otherwise directed by the ~~hearing officer~~Hearing Officer, evidence will be received from participants in the following order: (a) ~~applicant~~Applicants or ~~petitioner~~Petitioners; (b) ~~protestant~~Protestants and interveners; (c) ~~Commission staff~~Commission Staff; and, (d) rebuttal by ~~applicant~~Applicants or ~~petitioner~~Petitioners. Evidence from the Public Advocate will be received according to the Public Advocate's status (as an ~~applicant~~Applicant, ~~petitioner~~Petitioner, ~~protestant~~Protestant or intervener) in the ~~proceeding~~Proceeding.

~~018.15B—Complaints:~~ Unless otherwise directed by the ~~hearing officer~~Hearing Officer, evidence will be received from participants in the following order: (a) ~~complainant~~Complainant; (b) ~~defendant~~Defendant; and, (c) rebuttal by ~~complainant~~Complainant.

~~018.15C—Investigative Proceedings:~~ Evidence will be received from participants in the following order: (a) the Public Advocate or, in cases in which the Public Advocate is not a party of record, the ~~Commission staff~~Commission Staff; (b) the ~~defendant~~Defendants; and, (c) rebuttal by the Public Advocate or ~~Commission staff~~Commission Staff in accordance with subpart (a).

~~018.15D—Show Cause Orders:~~ Evidence will be received from participants in the following order: (a) ~~Commission staff~~Commission Staff; (b) the Public Advocate in cases in which it is a party of record; (c) the ~~defendant~~Defendants; and, (c) rebuttal by ~~Commission staff~~Commission Staff.

~~018.15E—Order of Intervener's Evidence:~~ The evidence of interveners, including the Public Advocate, will be received following the case in chief that it supports.

019 MOTIONS:

019.01 Motion: A ~~motion~~Motion is ~~any oral or written request addressed to a hearing officer or the Commission by any party to a proceeding.~~defined in Rule 001.01L above.

019.02 Filing and Service : Motions made prior to a hearing shall be in writing and filed with the Commission pursuant to section 007 above; and the moving party shall serve a copy of the ~~motion~~Motion on all ~~parties~~Parties of record or their ~~and~~ attorneys of record ~~personally or by~~

~~First Class United States mail~~ in accordance with Rule 011 above.

019.03 Response: Non-moving ~~parties~~Parties of record may respond to ~~motion~~Motions made prior to the hearing by filing a written reply within ten (10) days of the mailing of service of the ~~motion~~Motion; provided, however, if the ~~hearing officer~~Hearing Officer determines less time for response should be allowed, the ~~hearing officer~~Hearing Officer may shorten the reply period. The response shall be filed in accordance with section 007 above. The party filing the reply shall serve a copy of the reply on all ~~parties~~Parties of record or their attorneys of record ~~personally or by First Class United States mail at the time the reply is filed~~in accordance with Rule 011 above.

019.04 Ruling: Motions, except ~~motion~~Motions praying for final disposition of the ~~proceeding~~Proceeding, which ~~must~~shall be decided by the Commission, will be ruled on by the ~~hearing officer~~Hearing Officer assigned to the case in which the ~~motion~~Motion is filed or by the Commission.
[Question: Should there be a provision for appeal of a ruling by the Hearing Officer to the full Commission?]

020 CONDUCT OF PROCEEDINGS:

020.01 Hearing Officer; Duties and Powers: A ~~proceeding~~Proceeding will be conducted by a ~~hearing officer~~Hearing Officer who, among other things, shall:

020.01A Open the record and receive appearances.

020.01B Enter the notice of hearing into the record.

020.01C Act on pleadings not previously or timely filed.

020.01D Act on pleadings previously filed but not ruled upon.

020.01E Receive testimony.

020.01F Elicit testimony on behalf of the Commission.

020.01G Rule on objections and ~~motion~~Motions.

020.01H Close the hearing.

020.02 Hearing Officer; Powers Limited: A ~~hearing officer~~Hearing Officer shall not take any action involving a final determination of the ~~proceeding~~Proceedings.

020.03 Testimony; Modified Procedure: An application in which ~~no protests or petitions for formal intervention is~~

~~not protested~~ ~~are filed~~ may on ~~applicant~~ Applicant's ~~motion~~ Motion, or on the Commission's own ~~motion~~ Motion, be processed by use of affidavits and will be processed administratively. Affidavits shall be signed by the affiant and sworn to before a notary.

020.04 Oral Argument: No oral argument shall be permitted as a matter of right at the close of a hearing. The ~~hearing officer~~ Hearing Officer may request or permit such argument. Oral argument regarding Motions shall be allowed only on the request of a party granted by the Hearing Officer or the Commission.

020.05 Briefs: Briefs may be required by the ~~hearing officer~~ Hearing Officer or the Commission. Any party of informal intervenor that ~~wants~~ desires to submit a brief may do so by request. In cases in which two or more ~~parties~~ Parties ~~want~~ desire to submit briefs, such briefs will be filed simultaneously unless otherwise ordered by the Commission. The time in which briefs shall be filed, the manner of filing ~~and service~~ and the number of copies required will be established by the ~~hearing officer~~ Hearing Officer or the Commission. Service shall be in accordance with Rule 011 above.

020.06 Standard of Conduct; Contemptuous Conduct: A ~~hearing officer~~ Hearing Officer may exclude from the hearing any ~~person~~ Person who displays contemptuous or disruptive conduct.

020.07 Change of Hearing Officer: Proceedings will not be affected by the change of a ~~hearing officer~~ Hearing Officer.

020.08 Consolidation: Unless any party would be prejudiced, ~~proceeding~~ Proceedings that are legally or factually related may be heard on a consolidated record.

020.09 Interpreters:

020.09A—~~Interpreters; Intent~~: It is the intent of Section 020.09 to provide a procedure for the appointment of interpreters to provide clear and accurate interpretation of questions asked of, and testimony given and arguments made at Commission hearings and oral arguments by deaf or hard of hearing persons and persons unable to communicate by use of the English language.

020.09B—~~Terms, Defined~~: For the purposes of Section 020.09, unless the context otherwise requires:

020.09B1 Deaf or hard of hearing person means a person whose hearing impairment, with or without amplification, is so severe that he or she may have difficulty in auditory processing spoken language without the use of an interpreter or a person with a fluctuating or permanent hearing loss which may adversely affect the ability to understand spoken language without the use of an interpreter or other auxiliary aid; and

020.09B2 Person unable to communicate the English language means a person who cannot readily understand or communicate by use of the English language.

020.09C ~~Interpreters; Request; Appointment;~~ Upon ~~motion~~Motion by any party or the Commission's initiative, in any ~~proceeding~~Proceeding in which a deaf or hard of hearing person or person unable to communicate the English language appears as a party or witness, the Hearing Officer may appoint an interpreter for the purpose of interpreting questions, testimony and arguments at any hearing or oral argument before the Commission.

020.09D ~~Interpreters; Qualifications;~~ No person shall be appointed as an interpreter pursuant to Section 020.09 unless such person is readily able to communicate with the deaf or hard of hearing person or person unable to communicate the English language, interpret any questions asked to the person at the hearing or oral argument, accurately repeat and interpret the testimony or argument of such person to the Commission, and to perform all of these responsibilities without bias toward or against the person, any other party to the ~~proceeding~~Proceeding, any other witness at the hearing or the Commission. A person appointed to interpret for deaf and hard of hearing persons shall be a licensed interpreter as defined in section 20-151 of the Nebraska Revised Statutes or, if a licensed interpreter is unavailable, an interpreter licensed under the laws of another state.

020.09E ~~Interpreters; Oath;~~ Every interpreter appointed pursuant to Section 020.09, before entering

upon his or her duties as such, shall take an oath that he or she will, to the best of his or her skill and judgment, make a true and accurate interpretation to the deaf or hard of hearing person or person unable to communicate the English language of all questions to that person at the hearing or oral argument in a language that such person understands; that he or she will, in the English language, truly and accurately repeat the testimony or argument of such person to the Commission; and that he or she will perform all of his or her responsibilities without bias toward or against the person, any other party to the ~~proceeding~~Proceeding, any other witness at the hearing or the Commission.

~~020.09F—Interpreters; Fees and Expenses:~~ The fees and expenses of an interpreter shall be set and ordered paid by the Commission, in accordance with a fee schedule established by the Commission, and be paid out of the General Fund with funds appropriated, if such funds are appropriated, to the Commission for that purpose.

021 DECLARATORY RULING:

021.01 Petition Content: A petition for declaratory ruling shall set forth the rule or statute on which the ~~petitioner~~Petitioner seeks a declaratory ruling and the facts upon which the petition is based.

021.02 Filing: A petition for a declaratory ruling will be filed with the Executive Director who shall cause notice thereof to be given in accordance with these rules. The minimum notice to be given before hearing shall be twenty (20) days.

021.03 Oral Argument or Hearing: The Commission shall hear argument or receive evidence on a petition for a declaratory ruling.

021.04 Ruling: The Commission's ruling shall identify the ~~person~~Persons to be bound by the ruling.

021.05 Statewide Commercial Importance: If a petition for declaratory ruling presents a question of statewide commercial importance or such is noted during or after hearing on the petition, the Commission shall not issue a declaratory ruling but will resolve such question as part of a public investigation.

022 PREHEARING CONFERENCES:

022.01 Purpose: Upon written notice by the Commission in any ~~proceeding~~Proceeding, or upon written or oral instruction of a ~~hearing officer~~Hearing Officer, ~~parties~~Parties or their attorneys may be directed to appear before a ~~hearing officer~~Hearing Officer at a specified time and place for a conference, prior to or during the course of a hearing, to submit suggestions orally or in writing for the purpose of formulating issues and considering:

022.01A The simplification of issues.

022.01B The necessity or desirability of amending the pleadings either for the purpose of clarification, amplification or limitation.

022.01C The possibility of making admissions of certain averments of fact or stipulations concerning the use by either or both ~~parties~~Parties of matters of public record, such as annual reports or the like, or to avoid introduction of foundation.

022.01D The procedure at the hearing.

022.01E Limitations of the number of witnesses and time for examination.

022.01F The propriety of prior mutual exchange between or among the ~~parties~~Parties of prepared testimony and exhibits.

022.01G The need for an interpreter at the hearing.

022.01H The status of any settlement discussions or alternative dispute resolution efforts.

022.01I Other matters as may aid in the simplification of the evidence and disposition of the ~~proceeding~~Proceeding.

022.02 Facts Disclosed Privileged: Facts disclosed in the course of the prehearing conference are privileged and, except by agreement, will not be used against participating ~~parties~~Parties either before the Commission or elsewhere unless fully substantiated by other evidence during open hearing.

022.03 Stipulations: Parties to any ~~proceeding~~Proceeding may agree upon any facts involved in the controversy, either by written stipulation entered into the record as an exhibit or by oral agreement stated on the record, provided that the Commission shall not be bound by such stipulation.

022.04 Recordation and Order: Action taken at the conference, including a recitation of the amendments allowed at the pleadings, agreements made by the ~~parties~~Parties as to any matters considered, and defining the issues, will be recorded in an appropriate order, unless the ~~parties~~Parties enter upon a written stipulation as to such matters or agree to a statement on the record by the ~~hearing officer~~Hearing Officer.

022.05 Objection to the Order; Subsequent Proceedings: If an order is entered, a reasonable time will be allowed for the ~~parties~~Parties to present objections on the grounds that it does not fully or correctly embody the agreements reached at the conference. Thereafter, the terms of the order or modification thereof, the written stipulation, or statement of the ~~hearing officer~~Hearing Officer, as the case may be, determine the subsequent course of the ~~proceeding~~Proceedings, unless modified to prevent manifest injustice.

023 APPEALS: *[Section 75-136 specifies the appeal procedure after August 31, 2003, which is to be the procedures specified under the APA. Why is anything needed in this Rule other than specification that this section as now exists or as is hereafter amended, controls?]* Administrative Procedure Act. Except as otherwise provided by law, if a party to any ~~proceeding~~Proceeding is not satisfied with the order entered by the Commission, such party may appeal in accordance with the Administrative Procedure Act.

023.01 Direct Appeal: On direct appeal, a notice of appeal, statutory docket fee, and seventy-five dollar (\$75.00) cost bond or undertaking shall be filed with the Executive Director within the thirty (30) days after the date of the mailing of a copy of the order by the Commission to the party appealing.

023.02 Indirect Appeal; ~~Motion~~Motion for Rehearing

023.02A Filing: On indirect appeal, a ~~motion~~Motion for reconsideration must first be filed within the ten (10) days after the mailing of a copy of the order by the Commission to the party seeking reconsideration.

023.02B Oral Argument: The Commission shall hear oral argument on ~~motion~~Motions for reconsideration if a request is filed at the time such ~~motion~~Motion for reconsideration is filed by the moving party or by request filed within seven (7) days of the filing of the ~~motion~~Motion by an opposing party. Unless otherwise ordered by the Commission, the ~~parties~~Parties of record shall be allowed twenty (20) minutes each for oral argument.

023.02C Commission Action: If the Commission elects to rule upon the ~~motion~~Motion for reconsideration, it shall rule on the ~~motion~~Motion within twenty-five (25) days after the mailing of a copy of the order by the Commission to the party seeking reconsideration.

023.02D Appeal: If the Commission overrules the ~~motion~~Motion for reconsideration or does not enter an order ruling on the ~~motion~~Motion within twenty-five (25) days after the mailing of a copy of the order by the Commission to the party seeking reconsideration, and the party elects to appeal, a notice of appeal, statutory docket fee, and seventy-five dollar (\$75.00) cost bond or undertaking must be filed with the Commission within thirty (30) days after the date of the mailing of a copy of the order, of which reconsideration was sought, by the Commission to the party that sought reconsideration.

023.02E Appeal: Deadline Not Tolloed: The filing of a ~~motion~~Motion for reconsideration does not toll the time for making an appeal.

023.03 Procedure: The procedure for appeal of Commission orders shall be pursuant to the Administrative Procedure Act.

023.04 Judicial Review of Penalties:

023.04A If the ~~defendant~~Defendant against whom a penalty, including a civil penalty, is assessed seeks judicial review as authorized by the statute, the ~~defendant~~Defendant shall forward to the Commission a cashier's check or money order payable to the Treasurer of the State of Nebraska for placement in a contingent liability account in the amount of the penalty assessed by the Commission. As an alternative to paying the penalty into a contingent liability account, the ~~defendant~~Defendant may post with the Commission a supersedeas bond approved by the Commission and payable to the Treasurer of the State of Nebraska for the amount of the penalty, which will remain in effect until all judicial review of the order or decision is final. The ~~defendant~~Defendant shall either remit the payment or post an approved supersedeas bond with the Commission within the thirty (30) day period immediately following the day on which the Commission's order is mailed. If the ~~defendant~~Defendant is unable financially to comply with the requirements of this rule, the ~~defendant~~Defendant seeking judicial review

shall, within the same thirty (30) day period, file with the Executive Director of the Commission an affidavit stating his/her financial inability and shall attach thereto a balance sheet describing, with particularity, the ~~defendant~~Defendant's assets and liabilities. If the Commission concludes that the balance sheet and affidavit sufficiently show the ~~defendant~~Defendant's financial inability to comply with this rule, the Commission may waive payment of the civil penalty into the contingent liability account or the posting of a supersedeas bond.

023.04B (A) Failure to pay the penalty in full, (B) failure to forward the amount of the penalty for placement in a contingent liability account, (C) failure to post a supersedeas bond, or (D) failure to obtain a waiver from the Commission of such requirements within the thirty (30) day period immediately following the day on which the Commission's order is mailed shall result in a waiver of all legal rights to judicial review.

023.05 Unfavorable Appellate Determination: In the event the final appellate determination is against the ~~defendant~~Defendant, within thirty (30) days of the date the decision of the appeals court becomes final, the Commission shall forward to the Treasurer of the State of Nebraska the cashier's check, money order or supersedeas bond held by the Commission, plus any interest which may have accrued, pending the outcome of the appellate process.

023.06 Favorable Appellate Determination: In the event the final appellate determination is in favor of the ~~defendant~~Defendant, said ~~defendant~~Defendant shall be absolved of all liability for payment of the amount of the penalty. Within thirty (30) days of the date the decision of the appeals court becomes final, the Commission shall return the amount of the penalty assessed and paid, plus any interest which may have accrued, with a certificate of its return or shall release the supersedeas bond by Commission order, as shall be required under the circumstances.

024 SECURITY ISSUANCES:

024.01 Applications: Applications for approval of a security issuance will set forth the details surrounding the proposed indebtedness or issuance and will be accompanied by: (A) a certified copy of the Articles of Incorporation with amendments to date; (B) a certified copy of the minutes

from the board of directors' or stockholders' meeting, or other proper corporate authority authorizing the action; (C) a certified copy of the by-laws with amendments to date; (D) current balance sheet and supporting profit and loss statement; and (E) sample of proposed stock certificate.

024.02 Notice: In cases of stock increase and consolidation of stock, a hearing will be held only after proof of publication in a legal newspaper published in the city wherein the ~~common-carrier~~Common Carrier has its principal place of business in the State of Nebraska, or, if no legal newspaper is published in such county, then in some legal newspaper published within the state and having general circulation within such county once each week for two consecutive weeks. The first publication shall be at least 60 days prior to the hearing upon the application for the increase or for the consolidation, as the case may be.

025 RULES AND REGULATIONS: An application for the amendment, repeal or adoption of any Commission rule or regulation shall state the purpose of the proposed rule and regulation and shall state briefly the reasons for such amendment, repeal or adoption.

026 FORMS: The Commission has approved certain forms for use by its departments in connection with ~~proceeding~~Proceedings before the Commission. The forms are available upon request and may be used where applicable. These include the following:

026.01 Communications Department:

026.01A Application for Approval of an Interconnection Agreement

026.01B Application to Connect Automatic Dialing Announcing Device

026.01C Application for Boundary Change

026.01D Application for Competitive Local Exchange Carrier Authority

026.01E Application for Extended Area Service

026.01F Application for Interexchange Carrier Authority

026.02 Engineering:

026.02A Application for Authority to Construct, Operate and Maintain an Electric Transmission Line

026.02B Completion Notice for Transmission Line

026.03 Transportation Department:026.03A Affidavit of Applicant026.03B Affidavit for Lost Plate026.03C Affidavit of Supporting Shipper026.03D Affidavit of Transferee026.03E Affidavit of Transferor026.03F Application for Motor Carrier Authority026.04 Grain Warehouse Department:026.04A Form GW-1 Application for Public Grain Warehouse License: To be used to conduct the business of a public grain warehouseman.026.04B Form GD-1 Application for Grain Dealer License: To be used to conduct the business of a grain dealer.

027 FILING FEES: For each application, complaint or petition filed with the Commission, there shall be a filing fee which shall be established and set forth in the official minutes at least annually.

028 HEARING FEES: For each ~~proceeding~~Proceeding before the Commission requiring a hearing, a fee, which shall be established consistent with statute and set forth in the official minutes at least annually, shall be assessed by the Executive Director; provided, however, the Commission may waive the hearing fee if the ~~proceeding~~Proceeding was initiated by the Commission.

029 CIVIL PENALTY PROCEDURES:029.01 Purpose and Scope:

029.01A The purpose of this section is to establish hearing and related procedures which the Commission will follow when civil penalties are sought against any ~~person~~Person as defined in Neb. Rev. Stat. section 75-139.01 pursuant to section 75-156.

029.01B The section establishes procedures to interpret, clarify and supplement requirements, definitions, and procedures described in the statutes specified in 029.01A. The Commission will follow the requirements, definitions, and procedures in these statutes and rules.

029.01C For purposes of these rules, civil penalty shall have the same meaning as administrative fine and these terms may be used interchangeably.

029.02 Assessing Civil Penalties:

~~029.02A Authority of the Commission:~~ Except as otherwise provided, in addition to other penalties and relief provided by law, the Commission may, upon a finding that the violation is proven by clear and convincing evidence, assess a civil penalty of up to ten thousand dollars (\$10,000) per day against any ~~person~~Person for each violation of: (1) any provision of sections 75-301 to 75-390, or section 75-126 as such section applies to any ~~person~~Person or carrier specified in sections 75-301 to 75-390; (2) a Commission order entered pursuant to the Automatic Dialing-Announcing Devices Act, the Emergency Telephone Communications Systems Act, the Intrastate Pay-Per-Call Regulation Act, the Nebraska Telecommunications Regulation Act, the Nebraska Telecommunications Universal Service Fund Act, the Telecommunications Relay System Act, sections 86-801 to 86-811 of the Nebraska Revised Statutes; (3) any interconnection agreement or agreement of a similar nature approved by the Commission pursuant to section 86-122 of the Nebraska Revised Statutes; (4) a self-enforcing provision of an interconnection agreement or an agreement of a similar nature approved by the Commission; (5) any term, condition, or limitation of any certificate or permit issued pursuant to sections 75-301 to 75-390 of the Nebraska Revised Statutes; or, (6) any rule, regulation, or order of the Commission issued under authority delegated to the Commission pursuant to sections 75-301 to 75-390 of the Nebraska Revised Statutes.

~~029.02B Annual Maximum:~~ The civil penalty assessed pursuant to rule 029.92A1 shall not exceed two million dollars (\$2,000,000) per year for each violation. For purposes of this subpart, year shall mean calendar year, which is the period from January 1 to December 31 inclusive.

~~029.02C Jurisdictional Utilities:~~

~~029.02C1 Authority of the Commission:~~ In addition to other penalties and relief provided by law, the Commission may, upon a finding that the violation is proven by clear and convincing evidence, assess a civil penalty not less than one hundred dollars (\$100) and not more than one thousand dollars (\$1,000) against any ~~jurisdictional utility~~Jurisdictional Utility for

each violation of (a) any provision of the State Natural Gas Regulation Act, (b) any rule, regulation, order, or lawful requirement issued by the Commission pursuant to the State Natural Gas Regulation Act, (c) any final judgment or decree made by any court upon appeal from any order of the Commission, or (d) any term, condition, or limitation of any certificate issued by the Commission issued under authority delegated to the Commission pursuant to the act.

029.02D ~~Discretion to Determine Penalty~~ The Commission shall have discretion in determining the appropriate amount of the civil penalty assessed for each violation. In determining the amount of the penalty, the Commission shall consider:

029.02D1 The appropriateness of the penalty in light of the severity of the violation; and,

029.02D2 The good faith of the violator in attempting to achieve compliance after notification of the violation is given.

029.03 Initiation of Civil Penalty Proceedings Before the Commission:

029.03A ~~Complainants and Complaints~~ A civil penalty ~~proceeding~~Proceeding may be initiated by any ~~person~~Person or the ~~person's~~Person's ~~legal representative~~Legal Representative. The complaint initiating a civil penalty ~~proceeding~~Proceeding shall be filed with the Executive Director and shall conform to the requirements of 005.03 (departmental complaint), 005.05 (formal complaint) or 013.01 (show cause order), as the case may be, and further shall: (1) consist of a written pleading signed by the ~~complainant~~Complainant or his or her ~~legal representative~~Legal Representative containing the names of the ~~complainant~~Complainant and the alleged violator or violators; (2) set forth the date, facts, and nature of each act or omission upon which each charge of a violation is based; (3) specifically identify the particular statute, certificate, permit, rule, regulation, or order allegedly violated; (4) contain a prayer stating the type of relief, action, or order desired by the ~~complainant~~Complainant; (5) inform the ~~defendant~~Defendant that pursuant to Commission rules, failure to answer (a) will be construed as an admission of the allegations in the complaint and (b) allows the Commission to enter an order assessing a civil penalty as provided by law for the violation or violations alleged in the complaint or to proceed with a hearing to receive evidence of

the alleged violation or violations and may assess a civil penalty as provided by law..

029.03A1 In the case of a formal complaint, a hearing fee may be assessed against the ~~complainant~~Complainant in the amount established by the Commission and as provided by law for hearing fees. If the ~~defendant~~Defendant is found to have committed the violation or violations named in the formal complaint, the hearing costs assessed, if any, shall be refunded to the ~~complainant~~Complainant. If the ~~defendant~~Defendant is found to have committed the violation or violations named in the formal complaint, the ~~defendant~~Defendant may be assessed the costs of the hearing.

~~029.03B—Delivery of Complaint to Commission:~~ Before a civil penalty complaint filed pursuant to this section by anyone other than the Commission can proceed to a hearing, a copy of said complaint shall be delivered to the Executive Director of the Commission. The Commission shall have thirty (30) days to intervene in support of said complaint, intervene in opposition to said complaint, or issue a letter advising the ~~complainant~~Complainant that the Commission has taken no position in the ~~proceeding~~Proceeding. In the event the Commission takes no action after the thirty (30) day period has expired, the ~~complainant~~Complainant may proceed to a hearing on the complaint no earlier than thirty (30) days after notice is served upon the ~~defendant~~Defendant named in the complaint. Nothing contained herein shall preclude the Commission from intervening as otherwise allowed under the rules of the Commission.

~~029.03C—Notice to Defendant:~~ When a complaint is filed with the Executive Director, wherein the ~~defendant~~Defendant may be subject to a civil penalty under state law and these rules, the Commission shall notify such ~~defendant~~Defendant in writing (1) setting forth the date, facts, and nature of each act or omission upon which each charge of a violation is based; (2) specifically identifying the particular statute, certificate, permit, rule, regulation, or order allegedly violated; (3) that a hearing will be held and, if known at the time of the Commission's notice, give notification of the time, date, and place of such hearing; (4) that, in addition to a civil penalty, the Commission may enforce additional penalties and relief as provided by law; (5) that pursuant to Commission rules, failure to answer will

be construed as an admission of the allegations in the complaint; (6) that failure to file an answer or to appear at the hearing allows the Commission to enter an order assessing a civil penalty as provided by law for the violation or violations alleged in the civil penalty complaint, or to proceed with a hearing to receive evidence of the alleged violation or violations and may assess a civil penalty as provided by law; and, (7) that upon failure to pay any civil penalty determined by the Commission, such civil penalty may be collected by civil action in the District Court of Lancaster County.

~~029.03D—Method For Notice of Civil Penalty Complaint and Hearing:~~ A copy of the civil penalty complaint described in 029.03A shall be served by the ~~Complainant~~Complainant on the ~~Defendant~~Defendant pursuant to Rule 011.02B; and the Commission Notice information specified by 029.03C shall be sent by the Commission to the ~~defendant~~Defendant by First Class United States mail.

~~029.03E—Supplemental Pleadings; Other Remedies at Law:~~ Supplemental pleadings filed by a party shall be in writing and be filed with the Executive Director and distributed by the Executive Director to all interested ~~parties~~Parties under a certificate of service if the pleadings are filed more than five (5) days before the hearing date. Supplemental pleadings filed five (5) days or fewer prior to the hearing date may be allowed by the ~~hearing officer~~Hearing Officer upon a showing of good cause and that the filing does not unduly disadvantage other ~~parties~~Parties of record. A civil penalty ~~proceeding~~Proceeding shall not be cumulative of all other remedies available under state law and the rules of the Commission. Nothing herein shall be construed so as to preclude the Commission or any other party, ~~person~~Person, or entity from seeking any remedy in law or equity not specifically provided for in this section.

~~029.03F—Withdrawal of Complaint:~~ A civil penalty complaint may be withdrawn by the party who filed the complaint without prejudice to refile upon the same facts if the Commission approves the withdrawal as provided by these rules.

029.04 Answer:

~~029.04A—Form:~~ The ~~defendant~~Defendant shall submit to the Commission a written answer in the manner required by (1) 005.08 (formal complaint) or (2) 005.09 (departmental complaint), but in either case the written answer shall be filed no later than twenty

(20) days after the date on which notice is given by the Commission, as provided in Rule 029.03C.

~~029.04B—Failure to Properly File Answer:~~ If the ~~defendant~~Defendant fails to timely file an answer as required by this subsection, or fails to appear at the hearing, the Commission may enter an order which assesses a civil penalty as provided by law for the violation or violations alleged in the complaint, or the Commission may proceed with a hearing to receive evidence on the alleged violation or violations and the Commission may assess civil penalties or an administrative fine as provided by law.

029.05 Settlement Orders:

~~029.05A—Compromise Prior to Complaint Hearing:~~ A ~~defendant~~Defendant may enter into a compromise settlement agreement and proposed final order prior to a hearing pursuant to section 75-157 of the Nebraska Revised Statutes. Such agreement does not constitute an admission by the ~~defendant~~Defendant of any alleged violation or violations contained in the civil penalty complaint. Such agreement and proposed final order shall be signed by the ~~defendant~~Defendant and all ~~parties~~Parties to the ~~proceeding~~Proceeding and shall reflect that the ~~defendant~~Defendant consents to the assessment of a specific civil penalty or administrative fine. Settlement of the matters raised by the civil penalty complaint in a proposed final order containing a recommended penalty is subject to the approval of the Commission.

~~029.05B—Contingent Liability Account Deposit;~~
~~Submission of Compromise to Commission:~~ If the ~~defendant~~Defendant and all ~~parties~~Parties to the ~~proceeding~~Proceeding enter into a compromise settlement agreement and proposed final order, the settlement of the complaint may include a recommended penalty to the Commission. If a recommended penalty is included as part of the compromise settlement agreement and proposed final order, simultaneous with the filing of a compromise settlement agreement and proposed final order, the ~~defendant~~Defendant shall remit to the Commission a cashier's check or money order in the amount of the recommended penalty payable to the Treasurer of the State of Nebraska. These funds shall be held in a contingent liability account until appropriately allocated upon final order. The compromise settlement agreement and proposed final order shall be submitted to the Commission by the Commission's counsel. If the Commission approves the agreement and proposed order, the civil penalty ~~proceeding~~Proceeding shall be closed . If the

Commission does not approve the proposed order, a hearing on the civil penalty complaint shall be held.

029.06 Findings of Fact and Conclusions of Law: Every decision and final order rendered by the Commission after a civil penalty hearing is held shall be in writing and accompanied by a finding of facts and conclusions of law. The order entering a civil penalty may, at the discretion of the Commission, provide for a prescribed timetable for the payment of such fines.

029.07 Final Commission Order: Except in the event of a compromise settlement agreement entered into pursuant to the provision of 029.05A which specifically provides that there will not be a finding that a ~~defendant~~Defendant has violated one or more of the provisions set forth in 029.02A, nothing in these rules shall prohibit the Commission from issuing a final order in which the Commission enters a finding that the ~~defendant~~Defendant is found to have violated one or more of the provisions set forth in 029.02A notwithstanding that such a ~~defendant~~Defendant may already be subject to the annual fine limitation as prescribed in section 029.02B.

029.08 Post-Order Requirements:

~~029.08A—Issuance of a Final Order Finding Occurrence of a Violation—~~ On the issuance of a final order finding that the violation or violations have occurred, the Commission shall send a copy of the order to the ~~defendant~~Defendant or the ~~defendant~~Defendant's attorney of record by certified or registered mail no later than five (5) business days of the entry of the . The Commission shall send a copy of the order to all other ~~parties~~Parties of record or their attorneys of record, by First Class United States mail.

~~029.08B—Payment of the Civil Penalty—~~ Within thirty (30) days of the date the Commission's final order is mailed to the ~~defendant~~Defendant or its attorney of record, the ~~defendant~~Defendant, if it has not previously paid all the full amount of the civil penalty ordered to be paid, shall pay the penalty in full by remitting a cashier's check, electronic transfer or money order to the Commission payable to the Treasurer of the State of Nebraska. The Commission shall then promptly forward the cashier's check or the money order to the State Treasurer as provided by law.

~~029.08C—Judicial Review—~~ Judicial review of a Commission order assessing a civil penalty entered pursuant to this section shall be conducted pursuant to the appeal procedures found in section 023 .

029.09 Collection of Penalty in Lieu of Payment: A civil penalty assessed pursuant to these rules and unpaid shall constitute a debt to the State of Nebraska which may be collected in the manner of a lien foreclosure or sued for and recovered in a proper form of action in the name of the State in the District Court of Lancaster County. Any civil penalty collected by the Commission pursuant to such judicial ~~proceeding~~Proceedings shall be transmitted within thirty (30) days from receipt to the Treasurer of the State of Nebraska for deposit in the permanent school fund pursuant to section 75-158 of the Nebraska Revised Statutes. |